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ABSTRACT

These performance recertification field-test guidelines were developed for the State of Arizona. The functions of the performance recertification program are as follows: a) the determination of teacher effectiveness by student behavior and growth, utilizing performance objectives, b) the determination of teacher effectiveness utilizing other types of criteria for recertification, c) the provision for feedback to teacher training programs, d) the provision for feedback to the individual teacher to improve teacher effectiveness, and e) the provision of guidelines to the Arizona Department of Education. Based upon these functions, the guidelines allow the local schools and school districts to field test a variety of alternate plans or models for recertification based on teacher performance. Suggested procedures are included with alternatives to assist local school districts in selecting appropriate procedures. (Author/BRB)

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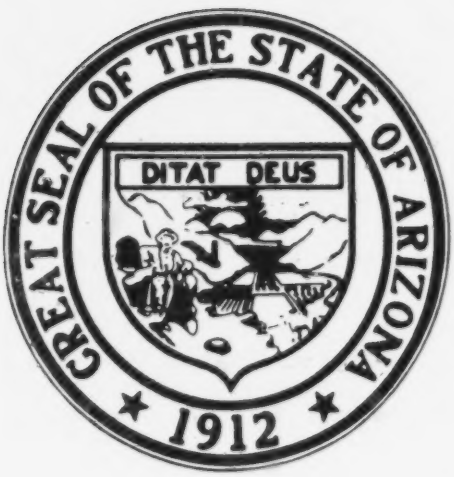
PERFORMANCE RECERTIFICATION FIELD TEST GUIDELINES

SP 006 184

ARIZONA DEPARTMENT OF EDUCATION
W.P. SHOFSTALL, PH.D., SUPERINTENDENT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Performance Recertification Task Force Members

Miss Ruth Allen
Mrs. Margaret Andres
Mrs. Joyce Annsley
Mr. Charles Ardolino
Mrs. Beth Calhoun
Mrs. Jeanne Chisholm
Mrs. Marcia Corbett
Dr. Ed Dejnozka
Mr. H. A. Dellis
Mr. Jack Dent
Dr. Larry Faas
Dr. Charles Fauset
Mr. Chuck Ford
Dr. Ella Forman*
Mrs. Leona Frank*
Mrs. Iola Frans
Mr. Phil Gianopulos
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Mrs. Blanche Hosack
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Mr. A. W. Judd
The Honorable Fred J. Koory, Jr.
Dr. Richard Krebs
Mr. Richard Kuelbs
Dr. Mary Jo Livix
Dr. Maunelle Martin*
Dr. Harold Moore
Mrs. Dorothy McIver
Mrs. Grace McNeely
Miss Mary O'Brien
Mr. Warren Packer
Dr. Ted Perry*
Mrs. Mary Phelan
Mrs. Merle Platt
Dr. John R. Potts*
Dr. Howard Roberts*
Mr. John Sullivan
Mr. David Weisenborn
Mr. Thomas Wright

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GLOSSARY

ADMINISTRATORS

Any certificate holder who exercises authority in managing, directing and administering the affairs of an educational institution or system and is assigned less than 50 percent of their time to the classroom.

ASSESSMENT

Evaluation of the certificate holder's ability to meet pre-determined and mutually agreed upon criteria through process and product evaluation.

CERTIFICATE HOLDER

A person holding a certificate from the State Board of Education to teach in the schools of the State, i.e., classroom teachers, support personnel, and administrators.

CLASSROOM TEACHERS

Certificate holders devoting not less than 50 percent of their time to classroom teaching or the supervising of school childrens' activities.

EDUCATIONAL GOALS

Pre-determined knowledge and skills identified by the local community, which the learner should acquire prior to completing a public school education.

EMPIRICAL

Derived from or based on experience or observation.

ENTRY LEVELS OF STUDENTS

Establishment of the degree of knowledge and skills possessed by the learner at a particular point in time.

LEARNER EXPECTANCY LEVELS

The learners' potential for achievement of various skills and knowledge as established by the certificate holder using varied diagnostic skills and tools.

PERFORMANCE CRITERIA COMMITTEE

A committee formed at the local district level composed of representatives of the central administrative staff, the principals, the classroom teachers, and the support personnel chosen by their respective groups.

PERFORMANCE RECERTIFICATION

The act of re-issuing a certificate by the State Board of Education based upon the certificate holder's successful performance according to pre-planned criteria.

PROFESSIONAL CLINICAL EXPERIENCE

Situational strategies developed by the certificate holder and/or others to assist the certificate holder to meet pre-determined and mutually agreed upon performance criteria.

PROFESSIONAL PRACTICES ADVISORY COUNCIL

A committee appointed by the State Board of Education representing various facets of the educational community; whose purpose is to hear complaints against certificate holders which cannot be settled at the local district level and make recommendations to the State Board of Education concerning the action to be taken either for or against the certificate holder.

SUPPORT PERSONNEL

Any individual who assists the learner attain the learner's pre-determined goals and objectives.

TASK FORCE ON PERFORMANCE RECERTIFICATION

A committee of over 40 people selected by their respective associations, institutions, or agencies appointed by the Superintendent of Public Instruction to assist the Department of Education to plan, develop, and field test the concept of performance recertification.

PERFORMANCE RECERTIFICATION
FIELD TEST GUIDELINES

NO PERSONNEL SHALL BE RECERTIFIED UTILIZING THIS MODEL DURING THE FIELD TEST

I. INTRODUCTION

The Advisory Committee for Teacher Recertification Utilizing Performance first met in April, 1971, at the request of the State Superintendent of Public Instruction. The charge given to the committee in November, 1971, was to develop a model program of renewing certificates of educators based upon meeting minimum criteria for effectiveness in the position for which recertification would be requested.

The committee agreed upon the following functions for a performance recertification program for the State of Arizona:

(1) Determine teacher effectiveness by student behavior and growth utilizing performance objectives.

(2) Determine teacher effectiveness utilizing other types of criteria for recertification.

(3) Provide feedback to the teacher training programs.

(4) Provide feedback to the individual teacher to improve teacher effectiveness.

(5) Provide the Department of Education with guidelines for performance recertification.

These statements of function and the elaborations of them have formed the basis for deliberations throughout the work of the committee.

The following teacher recertification policy was adopted by the State Board of Education at the August 14, 1972, meeting:

> The State Board of Education resolves to renew all certificates on the basis of performance criteria. The Department of Education has the responsibility to plan, develop, field test and, after State Board of Education approval, implement this policy of recertification based upon performance.
>
> An effort will be made to complete the planning, developing, and field testing during 1972-74 with implementation to begin on July 1, 1974, but if the procedures are not satisfactory to the Board by this time, then the implementation date will be modified. The task force developing the criteria will be instructed to give consideration to alternate plans or models for recertification which will include graduate study, on-site seminars and any other means for increasing teacher proficiency and student learning.

The State Board of Education also moved that the Task Force indicated in the policy would be made up of the Advisory Committee for Teacher Recertification Utilizing Performance plus each State Board member would have the prerogative of adding one representative to the Task Force.

The Task Force, in continuing its assigned responsibility, turned its attention to the development of guidelines from which a variety of alternate models or plans could emerge and be tested in local school situations. The Task Force considered three premises essential to the development of such a program of recertification:

(1) The function of recertification is significantly a different process from local employment and tenure; consequently, the Task Force addresses itself to recertification only;

(2) Educational goals of each district should be developed jointly by the local community and local educators; and

(3) Professional evaluation of certificate holders relative to recertification is a responsibility of the profession, subject to review and approval of the State Board of Education.

Within the framework indicated above, and based upon the stated premises, the Task Force has developed a set of guidelines which will make it possible for local schools and school districts to field test a variety of alternate plans or models for recertification based upon the performance of teachers. *Suggested* procedures, with alternatives, are included with the guidelines in an effort to assist local school districts in selecting procedures most appropriate for them. *Districts are encouraged to design additional alternatives* if it is determined that those included here are not adequate.

II. GENERAL GUIDELINES

A. Rationale

The following guidelines are intended to assist local districts in establishing evaluation and reporting procedures which will make possible recertification actions by the State Board of Education. The procedures and reports must accomplish the following:

(1) Provide a measure of the certificate holder's (classroom teachers, support personnel, and administrators) contribution toward the development and attainment of performance objectives for students.

(2) Assess the effectiveness with which the certificate holder performs his assigned functions and fulfills his job description.

(3) Provide a basis for the professional growth of the certificate holder.

B. Essential Ingredients of the Certificate Holder's Evaluation Program

Guidelines which apply to classroom teachers, support personnel, and administrators are:

(1) Evaluation should be based upon criteria which include knowledge acquired, professional performance, and learning and achievement of students.

(2) Certificate holders shall participate in establishing the evaluation system and in operating it once it is established.

(3) An effective evaluation system should concentrate on essential categories of performance.

(4) Evaluation of each certificate holder should be the responsibility of a team of persons including teachers, support personnel, and administrators.

(5) Every phase in the evaluation of individual certificate holders shall be handled as confidential.

(6) Individual evaluation procedures, mutually agreed upon by person being evaluated and evaluators, shall be selected from the plan developed by the local Performance Criteria Committee (PCC).

(7) The evaluation procedure should include a self-evaluation.

C. **Procedures for Implementation**

(1) Local school districts desiring to participate in the field testing of performance recertification shall submit a written request from the local Board of Education/Trustees. This request shall include an agreement to field test and will be filed with the State Superintendent of Public Instruction or his delegated representative.

(2) Responsibility for implementation will be that of the local district's Board of Education/Trustees.

(3) A PCC from the local district will be formed composed of representatives of the central administrative staff, the principals, the classroom teachers, and support personnel. These representatives will be chosen by their respective groups.

(4) The PCC will develop a plan containing evaluation criteria, timelines, data gathering and analysis procedures, procedures for the selection of evaluation teams, and the method for final reporting of results.

(5) The PCC will involve the local district certificate holders in developing the plan. The certificate holders in the district shall indicate agreement with the developed plan before Board of Education/Trustees review.

(6) The Board of Education/Trustees shall review and approve the PCC plan to be submitted to the Performance Recertification Task Force of the State Department of Education for review.

(7) The PCC will be responsible for implementing the appeals procedure in at least one simulated appeal.

(8) Deadlines for evaluation and reporting will be established in accordance with the dates set forth in the appeals procedures.

(9) A report for each certificate holder shall be filed by the local Board of Education/Trustees with the State Department of Education affirming that the evaluation of certificate holders of the participating district has been completed. The report will contain one of the following:

a. Certificate holder for recertification.
b. Certificate holder with objection to recertification.
c. Certificate holder not included in the evaluation.

III. ASSESSING CLASSROOM TEACHERS, ADMINISTRATORS, AND SUPPORT PERSONNEL PERFORMANCE (PROCESS EVALUATION)

A. District Objectives Related to Educator Performance

(1) The particular educational needs of each school district should be determined, and goals and priorities should be established with respect to pupil needs and staff development.

(2) Each school district should identify its expectation of educator responsibility in terms of roles and job relationships consistent with the established priorities.

(3) The assessment of performance should be based upon a job description which is stated in clear, understandable terms.

(4) A task analysis and an instructional job description will be developed jointly by each educator and the appropriate supervisory personnel. It should be based upon the district's priorities and should allow for variations within particular situations.

(5) Evaluation procedures should be designed to measure the level of attainment of the expected performances.

B. Assessing Performance of Classroom Teachers

The evaluation of teaching performance should be based upon a job description of the classroom teacher stated in clear, understandable terms. The process evaluation should include consideration not only of the job description based on student expectancy levels, but also on variable situational factors.

The common competencies for all teachers within the teaching function should be clearly identified.

The unique competencies for each of the specified roles with the teaching function should be clearly defined. For example, the competencies that would be necessary for the band teacher might be different from those competencies of the home economics teacher, or the third grade teacher from the sixth grade science teacher.

C. Assessing Administrator Performance

School districts will establish procedures for evaluating the effectiveness of administrators based upon the degree to which they meet established objectives. The sequence of events on the timeline established must conform with the dates established in the appeals procedures. The following activities are essential, although districts may add other activities which would better satisfy local conditions.

(1) Based on the district's statement of goals, individual administrators will develop appropriate performance objectives for the type of position to which they are assigned, recognizing the effect they may have upon the quality of student learning and their responsibility to provide leadership and support for others within the organization and leadership within the community.

(2) Criteria will be established by the individual administrator, in conjunction with the appropriate supervisory personnel, for assessing the degree to which he meets the performance objectives established.

(3) Evaluation tools to measure the degree of accomplishment of performance objectives and a system for recording progress must be selected and/or developed.

(4) Provisions must be made for a systematic feedback, reassessment, and modification of the entire evaluation program or any of its component parts.

D. Assessing Support Personnel Performance

School districts must develop a procedure for evaluating the effectiveness of supportive personnel based upon the accomplishment of established performance objectives. A sequence of events and a tentative timeline must be developed which is consistent with the dates established in the appeals procedure. The following activities are essential, but districts may add others in order to better meet local conditions:

(1) Based upon the district's statement of goals, individuals (support personnel) will develop appropriate performance objectives for the types of position they hold or assignments they receive.

(2) Criteria will be established by the individual, in conjunction with the appropriate supervisory personnel, for the assessment of effectiveness.

IV. ASSESSING CLASSROOM TEACHERS, ADMINISTRATORS AND SUPPORT PERSONNEL BASED UPON STUDENT PERFORMANCE (PRODUCT EVALUATION)

The local school district PCC will establish the criteria and procedures for evaluating the effectiveness of the certificated staff based on student performance. They will develop a sequence of events and establish timelines for the assessment of certificated personnel which are consistent with those indicated in the appeal procedure. Districts may rearrange the sequence or add other activities to meet local conditions, but the following are essential to the development of such procedures:

(1) There must be a statement of the district's goals for education. Whether these goals result from a needs assessment or are arrived at in some other fashion, they should represent what that local district considers to be the main purposes of its schools.

(2) Utilizing the goal statements of the district, goals specifically related to individual schools or local attendance centers should be developed. These goals should indicate the localized needs relating to students.

(3) Utilizing the statement of goals, individual classroom teachers and/or departments will develop performance objectives for students recognizing the importance of the cognitive, affective, and psychomotor domain. Based upon their assigned responsibilities, administrators and support personnel will be provided a procedure to agree with objectives for students selected by the classroom teachers. These objectives may be generated entirely at the local level or may be selected from various sources.

(4) Criteria will be established by the individual teacher, in conjunction with the appropriate supervisory personnel, for the assessment of student achievement.

(5) Procedures must be established to ascertain entry levels of students.

(6) Criteria must be developed for establishing learning expectancy levels of students.

(7) Evaluation tools to measure student achievement of performance objectives and instruments to record student progress must be selected and/or developed.

(8) Provision must be made for systematic feedback, reassessment, and modification of the entire evaluation program or any of its component parts.

A successful procedure for evaluating student performance requires a comprehensive system for reporting student progress. However, equally as important is the need for this system to be simple and not require an undue amount of time or effort on the part of teachers.

V. GUIDELINES FOR RECORD KEEPING AND REPORTING

Records to be kept on certificate holders

(1) In accordance with the previously stated guidelines, a confidential portfolio must be maintained for each certificate holder. It may include information relative to the certificate holder with respect to:

a. The pupil's accomplishment of stated objectives agreed upon by the certificate holder consistent with the goals of the local district.

b. Results of observation on the performance of certificate holders as reflected in the use of pre-selected instruments.

c. Professional growth for the individual certificate holder as mutually agreed upon or on a voluntary basis by the certificate holder.

d. Report of the self evaluation of the certificate holder.

e. Contributions to the school, profession, and/or community.

f. Other contributing factors.

(2) Data collected must be organized, collated, and tabulated in such a manner that they may be analyzed and interpreted.

VI. PROFESSIONAL GROWTH

Professional evaluation should also provide for continual updating of professional skills as a function of the recertification process. This updating should occur in both the areas of subject matter content and new instructional processes. There should be advance agreement concerning kinds of activities that would most likely be relevant to the teaching task.

VII. APPEAL PROCEDURES

An appeal procedure is necessary to assure every certificated person an opportunity for a fair and impartial hearing prior to refusal of a certificate renewal. The time requirements from the original appeal request through completion of the appeals procedure shall be defined. The procedure shall provide for final disposition of local and state appeals prior to nonrenewal of a certificate. This in no way limits a certificate holder's rights to due process through the courts should he not be satisfied with the disposition of his case through the appeals procedures.

Provided such other requirements for recertification as lie outside the purview of the employing local Board of Education/Trustees have been met, no certificate holder shall be denied recertification except upon demonstration of incompetence by substantive evidence.

Satisfactory evidence of incompetence shall require that the following procedure/safeguards have been afforded the certificate holder:

(1) Notice: By February 1 of the year preceding the year of the expiration date of certificate holder's current certificate, the local Board of Education/Trustees shall notify certificate holder of its intent to object to his recertification and shall specify the charges of incompetence alleged.

a. Nature of Notice: Charges of incompetence shall specify the acts or omissions constituting the charge so the certificate holder will be able to prepare a defense or a plan for remediation of the deficiencies.

b. Notice shall be in writing and be served upon the certificate holder personally, and a signed receipt obtained. Notice shall include a statement pertaining to the certificate holder's rights.

(2) Following notification as above, the certificate holder shall:

a. File with the Board of Education/Trustees a written request that a person familiar with the data alleging his incompetence be required to meet with him and cooperatively develop a plan for elimination of alleged deficiencies, or

b. Require the Board of Education/Trustees, or its designated representative, to recommend a specific plan for removal of deficiencies, or

c. Develop and submit to the Board of Education/Trustees a written plan for the removal of his alleged deficiencies, or

d. Select a panel of his peers from which a commission of three, acceptable to the Board of Education/Trustees, shall be created to:

1. Determine the validity of the allegation of incompetence.

2. Upon request, assist the certificate holder in developing a plan for removal of the alleged deficiencies, or

e. Submit a written denial of the allegation.

In the event that the commission rejects the allegations, or if an acceptable plan for removal of alleged deficiencies cannot be agreed upon, the conditions of (1) and (2) above shall be considered to have been met, provided there is documented evidence of procedural safeguards at each step. No certificate holder shall be denied the recertification except upon specific complaint of incompetence and demonstration that the elements of (1) and (2) have been met without acceptable improvement by the certificate holder.

(3) By February 1 of the year of the expiration date of the certificate of the certificate holder, the Board of Education/Trustees shall serve written notice that it will file a written complaint objecting to the certificate holder's recertification. Notice shall be in writing and be served upon the certificate holder personally and a signed receipt obtained. Notice shall include a statement pertaining to the certificate holder's rights. Following such notification, the certificate holder has the right to request a hearing. The certificate holder shall have ten working days to request a hearing.

(4) If a hearing is requested by the certificate holder, it shall be conducted in accordance with the following:

a. There shall be a three-member review board.

1. One member shall be a peer of the certificate holder appointed by the certificate holder.

2. One member shall be a peer of the certificate holder appointed by the Board of Education/Trustees.

3. One member shall be a peer of the certificate holder agreed upon by both appointees.

b. The hearing shall be commenced within ten working days from the date of the demand for a hearing.

c. The review board shall determine that all procedures identified in (1), (2), and (3) have been afforded the certificate holder prior to the request for a hearing. If it cannot be demonstrated that each of the procedural protections was afforded, the recommendation from the review board shall be to have the certificate holder's certificate renewed without prejudice.

d. The review board shall render a written opinion addressed to the Board of Education/Trustees that states that the complaint shall be:

1. Withdrawn or

2. Filed with the State Board of Education within ten working days.

The review board shall render a written rationale to support its opinion.

e. The written opinion and rationale shall be presented to the certificate holder and the Board of Education/Trustees within 20 working days from the date of the demand for a hearing.

(5) The Board of Education/Trustees shall file the above complaint of incompetence with the State Board of Education by March 1 of the same year unless the certificate holder has presented a written request for a hearing.

(6) When a complaint is filed with the State Board of Education by a Board of Education/Trustees, the State Board of Education or its designated representative shall within five working days after receipt of the complaint forward a written notice to the certificated person of his rights to a hearing before the Professional Practices Advisory Council (PPAC).

(7) Following notification that the Board of Education/Trustees has filed a complaint with the State Board of Education to preclude his recertification, the certificate holder may request a hearing from the PPAC.

If the certificated person requests a hearing from the PPAC, the PPAC shall determine whether all procedural safeguards herein have been afforded the certificate holder. If it cannot be demonstrated that such is the case, the PPAC shall advise the Secretary of the State Board of Education that the complaint lacks substantial grounds for action, and the certificate holder's certificate shall be renewed without prejudice.